

TITLE I
GENERAL DEPARTMENTAL PROCEDURES

CHAPTER 1
DEPARTMENTAL ORGANIZATION AND PROCEDURES

[Prior to 7/1/83, Social Services [770] Ch 1]
[Prior to 2/11/87, Human Services[498]]

MISSION STATEMENT

The Iowa department of human services is a public expression of Iowa's desire for a stronger community. Working cooperatively with others, the department of human services meets the unique needs of individuals who are experiencing personal, economic, social, or health problems. The primary responsibilities of the department are to help and empower individuals and families to become increasingly self-sufficient and productive, and strive to improve the well-being of all the people of the state of Iowa.

441—1.1(17A) Director. All operations of the department of human services are, by law, the responsibility of the director. The director's responsibilities include:

1.1(1) The formulation of department policy within the limits set forth in the statutes of the state of Iowa;

1.1(2) Establishing standards of performance for all divisions and offices of the department;

1.1(3) Maintaining liaison with the governor, other agencies of the state, and public and private agencies outside of state government on behalf of the department;

1.1(4) Fully informing the public of department programs;

1.1(5) Serving as principal agent for the department in all legal matters and development of legislative programs to support and improve agency efforts.

This rule is intended to implement Iowa Code section 17A.3(1)“a.”

441—1.2(17A) Council. The director of the department has, by statute, the advice and counsel of the council on human services. This seven-member council is appointed by the governor with consent of two-thirds of the Senate and its powers and duties are policymaking and advisory with respect to the services and programs operated by the department.

1.2(1) A quorum shall consist of two-thirds of the membership appointed and qualified to vote.

1.2(2) Where a quorum is present, a position is carried by a majority of the qualified members of the council.

1.2(3) Copies of administrative rules and other materials considered are made a part of the minutes by reference.

1.2(4) Copies of the minutes are kept on file in the director's office.

1.2(5) Tentative approval of departmental actions may be given by telephone when approval is needed prior to a formal meeting. A memorandum shall be kept of the approval and formal action taken at the next scheduled meeting.

1.2(6) At each meeting the council shall set the date and location of the next meeting.

a. The communications media shall be notified at least one week in advance of the meeting.

b. When it is necessary to hold an emergency meeting, the communications media shall be notified as far in advance of the meeting as time allows. The nature of the emergency shall be stated in the minutes.

1.2(7) In cases not covered by these rules, Robert's Rules of Order shall govern.

1.2(8) The department of inspections and appeals shall be the authorized representative to conduct hearings and appeals for the council on human services.

This rule is intended to implement Iowa Code section 17A.3(1)“a.”

441—1.3(17A) Organization at state level. The director oversees all service and administrative functions of the department. The deputy director for administration, the deputy director for services, the commandant of the Iowa Veterans Home, the chief of the office of communication and legal services report directly to the director.

1.3(1) Deputy director for administration. The deputy director for administration manages the general support functions of all divisions of the department. Principal responsibilities include development of program and operational budgets, accounting and administrative control of appropriation expenditures, design and development of data processing systems, and monitoring and processing of provider payments.

The administrators of the divisions of data management, fiscal management, support services, and chiefs of the office of program evaluation and employee services report directly to the deputy director for administration.

a. The administrator of the division of data management is responsible for the development and operation of the automated systems that collect and process information to generate client and vendor payments, track cases and caseloads, monitor and control agency business applications, and assess social programs. Additionally, the administrator is responsible for providing a wide range of technical support for the state institutions, personal computing assistance, office automation support, program and operational research and analysis, forecasting of program expenditures, and utilization and report development and preparation.

b. The administrator of the division of fiscal management is responsible for developing annual budgets to be presented to the council on human services, governor's office, and legislature; for monitoring expenditures; for providing management with monthly forecasts for all department budget units and subunits; and for filing quarterly federal expenditures and estimate of expenditure reports. Additionally, the administrator is responsible for providing the accounting for the department's programs and operations; for processing claims, invoices, and payroll checks; and for operating the cost allocation system which enables recovery of federal dollars.

c. The administrator of the division of support services has responsibility for equipment, purchasing, space allocation, printing, food stamp issuance and accountability, supplies management, cash receipts, manual distribution, fixed assets inventory control, central information delivery system (CIDS) teleconferencing and the mail. Additionally, the administrator is responsible for providing administration of surplus food distribution programs, nutrition consulting services, state vehicle fleet management, and liaison with the department of general services in the development of capital improvements and major maintenance projects for department institutions.

d. The chief of the office of program evaluation is responsible for conducting client case audits on a sample of all Medicaid and financial assistance programs, auditing claims paid to medical providers, evaluating local office management of the food stamp program, and directing corrective action to improve efficiency.

e. The chief of the office of employee services is responsible for supervising employee training activities, personnel document processing, the professional library, the disaster assistance program and the department's volunteer program.

1.3(2) Deputy director for services. The deputy director for services manages the development and delivery of the financial, medical and social services programs for eligible Iowans.

The administrators of the divisions of adult, children and family services, economic assistance, medical services, mental health, mental retardation, developmental disabilities, policy coordination, the chief of the office of field support, and the administrators of the five regional offices report directly to the deputy director for services.

a. The administrator of the division of adult, children and family services is responsible for the development and direction of service, regulatory, and financial reimbursement programs for children, families and dependent adults, including programs for foster care, adoption, child protection, family services, day care, and child and adult abuse registries. Additionally, the administrator is responsible for overseeing the following institutions:

- (1) The state training school in Eldora.
- (2) The Iowa juvenile home in Toledo.

b. The administrator of the division of economic assistance is responsible for the development and direction of financial assistance programs, including the aid to families with dependent children program, the food stamp program, emergency assistance, aid to Indians, PROMISE JOBS, the self-employment investment demonstration project, refugee cash assistance, the family development and self-sufficiency demonstration program, the transitional child care assistance program, the cash bonus program, systematic alien verification for entitlements, and the food stamp employment and training program.

c. The administrator of the division of medical services is responsible for the development and direction of medical service programs, including Medicaid, state supplementary assistance, refugee medical assistance, and interim assistance reimbursement.

d. The administrator of the division of mental health, mental retardation, and developmental disabilities is responsible for the development and direction of supports and services as well as the financing of such services for persons with mental illness, mental retardation, and developmental disabilities, and for administration of the gamblers assistance program. Additionally, the administrator is responsible for overseeing the following institutions:

- (1) Cherokee Mental Health Institute.
- (2) Clarinda Mental Health Institute, located on the grounds of the Clarinda Treatment Complex Institute Campus.
- (3) Independence Mental Health Institute.
- (4) Mount Pleasant Mental Health Institute, located on the grounds of the Mount Pleasant Treatment Center Complex.
- (5) Glenwood State Hospital-School.
- (6) Woodward State Hospital-School.

e. The administrator of the division of policy coordination is responsible for primary support services to all line elements of the department in the areas of child support and foster care collections and refugee services. In addition, the administrator ensures consistency with appropriate standards and operations, provides federal liaison services, maintains legislative relations, reviews selected client or constituent concerns, works on special planning and development projects, coordinates payment and contracting for purchased services, ensures compliance with equal opportunity and affirmative action standards and goals and has responsibility for the department's Title XIX case management policy and budget.

f. The chief of the office of field support is responsible for the day-to-day contact with the regional offices on administrative and program operation issues and addressing client or constituent concerns.

1.3(3) *Commandant of the Iowa Veterans Home.* The commandant has responsibility for veterans' services for the department, including the Iowa Veterans Home, Marshalltown, which receives honorably discharged veterans who have served in the armed forces of the United States and spouses or surviving spouses of qualified veterans for long-term health care services if they meet the admission criteria as adopted by the department.

1.3(4) *Office of communications.* The office of communications addresses the different facets of the department's internal and external communication needs. The chief of the office of communications is responsible for providing public information to clients, constituency groups, and the media, while also facilitating internal communications within the department.

441—1.4(17A) Organization at local level.

1.4(1) *Delivery system.* The department's community service delivery system functions through regional offices, each headed by an administrator. Each system is composed of area, local, and satellite offices strategically located for purposes of client accessibility.

1.4(2) *Regional offices.* The regional administrators shall be responsible for managing all department offices at the local level and directing all area, local, satellite, and regional personnel within the geographic boundaries of the region; and for implementing policies and procedures, within departmental priorities, to provide effective social services to those persons who need them, and the development of social service resources within the community, human services planning, complaints about area, local, and satellite offices, and technical support to area, local, and satellite offices. The regions have supervisory responsibilities for day care licensing and purchase of service. Regional offices are located in major population centers. Persons interested in contacting a regional office may inquire at the area, local, or satellite office for the location of the one serving their county.

1.4(3) *Area, local, and satellite offices.* There shall be at least one office in each county. These offices are generally located in the county seat in each county, but may be located in the major population center within each county. These offices shall be designated as either area, local, or satellite offices.

a. Area offices shall serve as the base for the area administrator and shall be open on a full-time basis. Activities of the area office include income maintenance and social service program delivery and responsibility for coordinating and supervising services within the area, which may be a county or cluster of counties. Activities also include child protection and other specialized services that will also be provided to surrounding counties.

b. Local offices shall be open on a full-time basis. Activities of the local offices include income maintenance and social service program delivery and serving as the bases for some satellite offices. Child protection and other specialized services may also be provided out of a local office in instances where client workload justifies it or where conducive to effective service delivery.

c. Satellite offices shall operate on a reduced number of days per week dependent on individual county needs. Activities of the satellite offices include income maintenance and social service program delivery.

This rule is intended to implement Iowa Code section 17A.3(1)“a.”

441—1.5 Rescinded, effective October 1, 1987.

441—1.6(17A) Mental health and mental retardation commission. The administrator of the division of mental health, mental retardation, and developmental disabilities has, by statute, the advice and counsel of the mental health and mental retardation commission. This 15-member commission is appointed by the governor with confirmation by two-thirds of the members of the senate. The commission's powers and duties are policymaking and advisory with respect to mental health and mental retardation, services and programs administered by the division of mental health, mental retardation, and developmental disabilities.

1.6(1) A quorum shall consist of two-thirds of the membership appointed and qualified to vote.

1.6(2) Where a quorum is present, a position is carried by a majority of the qualified members of the commission.

1.6(3) Copies of administrative rules and other materials considered are made a part of the minutes by reference.

1.6(4) Copies of the minutes are kept on file in the office of the administrator of the division of mental health, mental retardation, and developmental disabilities.

1.6(5) At each meeting the commission shall determine the next meeting date. Special meetings may be called by the chair or at the request of the majority of commission members.

1.6(6) Any person wishing to make a presentation at a commission meeting shall notify the Administrator, Division of Mental Health, Mental Retardation, and Developmental Disabilities, Hoover State Office Building, Des Moines, Iowa 50309-0114, (515)281-5874, at least 15 days prior to the commission meeting.

1.6(7) In cases not covered by these rules, Robert's Rules of Order shall govern.

1.6(8) The department of inspections and appeals shall be the authorized representative to conduct hearings and appeals for the mental health and mental retardation commission.

This rule is intended to implement Iowa Code section 17A.3.

441—1.7(17A) Governor's developmental disabilities council (governor's DD council). Pursuant to the Developmental Disabilities Assistance and Bill of Rights Act (DD Act), 42 U.S. Code, Section 6000 et seq., each state shall establish a state planning council to serve as an advocate for people with developmental disabilities. The department shall act as the council's designated state agency for the purposes of receiving funds under the DD Act.

1.7(1) Governor's DD council responsibilities. The governor's DD council shall:

a. Develop a state plan which meets the requirements of the DD Act.

b. Prepare and approve a budget to fund all activities and to hire staff and obtain services necessary to carry out its functions under the DD Act.

c. Hire after conferring with the director, supervise, and evaluate an executive director who shall hire and supervise council staff.

d. Prepare, submit and maintain all records and reports required by the Secretary of Health and Human Services.

1.7(2) Governor's DD council membership. The governor's DD council shall consist of up to 26 members appointed by the governor.

a. The principal state agencies, including, at a minimum, the departments of education, human services, and elder affairs, higher education training facilities, the university affiliated program, Iowa Protection and Advocacy Services, Inc., local agencies and nongovernmental agencies and private, nonprofit groups concerned with services to people with developmental disabilities in the state, shall be represented.

b. Consumers. At least one-half of the membership of the governor's DD council shall consist of people with developmental disabilities or their parents or guardians, or immediate relatives or guardians of people with mentally impairing developmental disabilities, and who are not employees of a state agency which receives funds or provides services under the provisions for state planning councils under the DD Act, who are not managing employees of any other entity which receives funds or provides services under the provisions for state planning councils under the DD Act, and who do not have an ownership or control interest with respect to such an entity.

(1) At least one-third of the consumer representatives shall be people with developmental disabilities.

(2) At least one-third of the consumer representatives shall be immediate relatives or guardians of people with mentally impairing developmental disabilities.

(3) At least one person shall be an immediate relative or guardian of an institutionalized or previously institutionalized person with a developmental disability.

1.7(3) Governor's DD council terms. Members shall be appointed for three-year terms.

a. Appointments shall be staggered so that at least one-third of the members are appointed each year.

b. Governor's DD council members shall be appointed for a maximum of two consecutive, full terms. Members who have been reappointed for more than two consecutive terms on July 1, 1993, may complete the full term of their last appointment.

c. Governor's DD council members are not eligible to receive a per diem during their term. They shall receive reimbursement for expenses, including individual and family supports necessary for participation, subject to the limitations set for state boards and commissions.

1.7(4) Governor's DD council action.

a. A quorum shall consist of two-thirds of the members eligible to vote.

b. Where a quorum is present, a position is carried by a majority of the members eligible to vote.

c. The use of proxies shall not be allowed.

d. Any council member representing the council before any legislative committee, public body, governmental agency or media representative shall support the council's mission, guiding principles, goals, objectives and strategies approved by the council in its state plan and other policy positions adopted by the council.

1.7(5) Governor's DD council minutes. Copies of the minutes are kept on file in the office of the Governor's DD Council, 617 E. Second Street, Des Moines, Iowa 50309.

1.7(6) Governor's DD council meetings. The governor's DD council will meet at least four times a year. Dates will be determined by the governor's DD council. Special meetings may be called by the chair or upon the written request of a majority of governor's DD council members.

a. Any person wishing to make a presentation at a governor's DD council meeting shall submit a request to the executive director of the governor's DD council. The request shall be considered by the governor's DD council chair in setting the next meeting agenda.

b. The governor's DD council shall coordinate activities with the mental health and mental retardation commission in accordance with Iowa Code chapter 225C.

1.7(7) Attendance.

a. A member shall be considered to have submitted a resignation when absent for three consecutive, regular governor's DD council meetings or a total of more than one-half of all regular governor's DD council meetings during a calendar year in accordance with Iowa Code section 69.15.

b. The governor's office shall be immediately notified by the governor's DD council executive director of a resignation under this subrule.

1.7(8) Organization. No later than October 1 of each year, the governor's DD council shall organize by electing a chair, vice-chair, and executive committee.

a. The executive committee shall consist of the governor's DD council chair, vice-chair and three members at large, one of whom shall be the immediate past chair if a current member of the governor's DD council.

b. The executive committee may exercise the power of the governor's DD council between regular governor's DD council meetings but may not override a decision of the governor's DD council.

c. The governor's DD council has the authority to create other standing and special committees and task forces as deemed necessary and to create terms of office for officers, committees, and committee chairs.

(1) The members and chairs of standing and special committees shall be appointed by the chairperson from the governor's DD council's membership. Appointments shall be approved by the governor's DD council.

(2) Noncouncil members may serve as voting members of committees if approved by the governor's DD council and shall be subject to terms as determined by the governor's DD council.

(3) Committees may act based on a simple majority of those present.

(4) Committees may create temporary task forces to assist them in their work.

1.7(9) Procedure. In cases not covered by this rule, Robert's Rules of Order shall govern.

This rule is intended to implement Iowa Code sections 217.6 and 225C.3.

441—1.8(217) Exceptions. Exceptions to the department's rules may be granted in individual cases upon the director's own initiative or upon request.

1.8(1) Procedures for requests.

a. Requests for exceptions must be submitted in writing to the Bureau of Policy Analysis, Department of Human Services, Hoover State Office Building, Des Moines, Iowa 50319-0114.

b. A request for an exception is independent from a departmental appeal under 441—Chapter 7. However, a request for an exception may be combined with an appeal of a proposed decision to the director under 441—Chapter 7. A request for an exception made prior to an appeal under 441—Chapter 7 may be denied pending an appeal where factual matters need to be developed.

c. A request for an exception should include the following information where applicable and known to the requester:

(1) The name, address, and case number or state identification number of the person or entity for whom an exception is being requested and the person requesting the exception, if different from the person for whom an exception is being requested.

(2) The specific rule to which an exception is requested or the substance thereof.

(3) The specific exception requested.

(4) Facts relevant to the factors listed in subrule 1.8(2).

(5) A history of the department's action on the case.

(6) Any information known to the requester regarding the department's treatment of similar cases.

(7) The name, address, and telephone number of any person inside or outside the department with knowledge of the matter with respect to which the exception is requested.

(8) Releases of information authorizing persons with knowledge regarding the request to furnish the department information pertaining to the request.

d. Requests for exceptions shall be acknowledged immediately and shall be responded to in writing within 120 days of receipt.

e. A denial of a request for an exception is absolutely final and is not appealable under 441—Chapter 7.

f. A request for an exception does not delay the time to request an appeal under 441—Chapter 7 or for filing a petition for judicial review of a final decision in a contested case under Iowa Code section 17A.19.

g. A request for an exception is not required to exhaust administrative remedies before judicial review of department action under Iowa Code section 17A.19.

h. The department shall maintain a deidentified record of exceptions granted and denied indexed by rule available for public inspection.

1.8(2) Policy. Exceptions are granted at the complete discretion of the director after consideration of all relevant factors including, but not limited to, the following:

a. The need of the person or entity directly affected by the exception. Exceptions will be granted only in cases of extreme need.

b. Whether there are exceptional circumstances justifying an exception to the general rule applicable in otherwise similar circumstances.

c. Whether granting the exception would result in net savings to the state or promote efficiency in the administration of programs or service delivery. Net savings or efficiency will make an exception more likely.

d. In the case of services, assistance, or grants, whether other possible sources have been exhausted. Exceptions will not generally be granted if other sources are available.

e. The cost of the exception to the state and the availability of funds in the department's budget.

This rule is intended to implement Iowa Code section 217.6.

441—1.9(17A) Commission on children, youth and families. Rescinded IAB 10/7/98, effective 12/1/98.

441—1.10(17A) HAWK-I board. The director of the department has, by statute, the advice and counsel of the HAWK-I board on the healthy and well children in Iowa program. This seven-member board consists of the commissioner of insurance or the commissioner's designee, the director of the department of education or the director's designee, the director of the department of public health or the director's designee, and four public members appointed by the governor, subject to confirmation by two-thirds of the members of the senate. The board shall also include two members of the senate and two members of the house of representatives, serving as ex officio members.

1.10(1) Organization.

a. The members of the board shall annually elect from the board's voting membership a chairperson of the board.

b. Members appointed by the governor and the legislative members shall serve two-year terms.

1.10(2) Duties and powers of the board. The board's powers and duties are to make policy and to provide direction for the administration of all aspects of the healthy and well kids in Iowa program which is administered by the division of medical services. In carrying out these duties, the board shall do all of the following:

- a.* Adopt rules of the department.
- b.* Develop criteria for and approve all contracts.
- c.* Establish a clinical advisory committee.
- d.* Establish an advisory committee on children with special health care needs.
- e.* Conduct studies and evaluations and provide reports as directed by legislation.
- f.* Define regions of the state for which plans are offered.
- g.* Solicit input from the public about the program.
- h.* Improve interaction between the program and other public and private programs which provide services to eligible children.
- i.* Receive and accept grants, loans, or other advances of funds from any person and may receive and accept from any source contributions of money, property, labor, or any other thing of value, to be held, used, and applied for the purpose of the program.

1.10(3) Board action.

- a.* A quorum shall consist of two-thirds of the membership appointed and qualified to vote.
- b.* Where a quorum is present, a position is carried by a majority of the qualified members of the board.

1.10(4) Board minutes.

- a.* Copies of administrative rules and other materials considered are made part of the minutes by reference.
- b.* Copies of the minutes are kept on file in the office of the administrator of the division of medical services.

1.10(5) Board meetings.

a. The board shall meet at regular intervals at least ten times each year and may hold special meetings at the call of the chairperson or at the request of a majority of the voting members.

b. Any person wishing to make a presentation at a board meeting shall notify the Administrator, Division of Medical Services, Department of Human Services, Hoover State Office Building, Des Moines, Iowa 50309-0114, telephone (515)281-8794, at least 15 days prior to the board meeting.

1.10(6) *Robert's Rules of Order.* In cases not covered by these rules, Robert's Rules of Order shall govern.

This rule is intended to implement Iowa Code paragraph 17A.3(1)“a” and 1998 Iowa Acts, House File 2517, section 6.

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